FORM PTO-1449, Adapted

## LIST OF INFORMATION DISCLOSED BY APPLICANT

|  | ATTY. DOCKET NO. |                 |                           | SERIAL NO. FILING DATE   |                          |                      | RECEIVED    |  |                    |  |  |  |
|--|------------------|-----------------|---------------------------|--|--------------------------|----------------------|-------------|--|--------------------|--|--|--|
| Sterling Michael Pearson  2134  Technology Canter 2100  U.S. PATENT DOCUMENTS  NAME  CLASS  SUBCLASS  FILING DATE  PLAPFROPRIATE  FOREIGN PATENT DOCUMENTS  FOREIGN PATENT DOCUMENTS  FOREIGN PATENT DOCUMENTS  FOREIGN PATENT DOCUMENTS  TRANSLATION  YES NO.  OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  AA Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC Firewall Features  AD Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tpo/rs_faq.php3.  AG Thernet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/prod/rsagent.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Phillips, NetProvoles detects perimeter hack attacks, July S, 1999, pp. 1-3, Ziff-Davis Publishing Company, Repinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pewk/90803kp.html.   | 07609.105002     |                 |                           | 09/469,580   | 5 Decer                  | nber 22, 1999        |             |  |                    |  |  |  |
| U.S. PATENT DOCUMENTS    DOCUMENT NUMBER   DATE   NAME   CLASS   SUBCLASS   FILING DATE   FAPROPRIATE  | APPLICANT        | •               |                           |  | GROU                     | P                    |             | - OC                                   | C 0 3 2004         |  |  |  |
| U.S. PATENT DOCUMENTS    DOCUMENT NUMBER   DATE   NAME   CLASS   SUBCLASS   FILING DATE   FAPROPRIATE  | Sterling M       | lichael         | Pearson                   |  | 2134                     |                      |             | Technol                                | nov Center 2100    |  |  |  |
| PILING DATE INTIAL  FOREIGN PATENT DOCUMENTS  FOREIGN PATENT DOCUMENTS  FOREIGN PATENT DOCUMENTS  FOREIGN PATENT DOCUMENTS  TRANSLATION YES NO.  OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC Firewall Features  AD Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 29, 1999, pp. 1-9, http://www.iss.net/prod/tpo/rs_faq.php3.  AG Anternet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/prod/rssagent.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rssagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rssagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 29, 1999, p. 1, http://www.iss.net/prod/rssagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rssagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rssagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rssagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net |                  |                 |                           |  | <del></del>              | OCUMENTS             |             | 100///(0)                              | Vay Comer 2 Ton    |  |  |  |
| FOREIGN PATENT DOCUMENTS    DOCUMENT NUMBER   DATE   COUNTRY   NAME   TRANSLATION   YES   NO.  |                  | 1               | l .                       | 1  |                          |                      | 1           |  |                    |  |  |  |
| OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC   Firewall Features    AD   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-9, http://www.iss.net/prod/tpo/rs_faq.php3.  AG   Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tpo/rs_Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/press_rel/pr3.php3.  AH   Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AK   Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.   |                  | ļ               | DOCUMENT NUMBER           | DATE   | NAME CL                  |                      | CLASS       | SUBCLASS                               |                    |  |  |  |
| OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC   Firewall Features    AD   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-9, http://www.iss.net/prod/tpo/rs_faq.php3.  AG   Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tpo/rs_Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/press_rel/pr3.php3.  AH   Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AK   Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.   | ·                |                 |                           |  |                          |                      |             |  |                    |  |  |  |
| OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC   Firewall Features    AD   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AE   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF   Internet Security Systems, Information Security: A Changing Need, October 29, 1999, pp. 1-9, http://www.iss.net/about/about.php3.  AG   AT   Internet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/prod/rsagent.php3.  AH   Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AK   Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  | ····             |                 |                           | <u>.</u> . F   | OREIGN PATEN             | T DOCUMENTS          |             | ······································ |                    |  |  |  |
| OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)  AA Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC Firewall Features  AD Internet Security Systems, Coordinated Attack Single Source, December 2, 1998, p. 1.  AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/about/about/app3.  AG Internet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/press_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  |                  |                 | DOCUMENT NUMBER           | DATE   | COUNTRY                  | N/                   | ME          |  | TRANSLATION        |  |  |  |
| AA Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC Firewall Features  AD Internet Security Systems, Coordinated Attack Single Source, December 2, 1998, p. 1.  AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/sp. New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/pross_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.adnet.com/adverts/eprints/axent/pcwk/90803kp.html.   | <del></del>      | DOCUMENT NOMBER |                           |  |                          |                      |             |  |                    |  |  |  |
| AA Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC Firewall Features  AD Internet Security Systems, Coordinated Attack Single Source, December 2, 1998, p. 1.  AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/sp. New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/pross_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.adnet.com/adverts/eprints/axent/pcwk/90803kp.html.   |                  |                 |                           |  |                          |                      |             |  |                    |  |  |  |
| AA Internet Security Systems, RealSecure Frequently Asked Questions, November 8, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AB Internet Security Systems, Host Security Rating Detail, November 9, 1998, pp. 1-11.  AC Firewall Features  AD Internet Security Systems, Coordinated Attack Single Source, December 2, 1998, p. 1.  AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/tsources.ps. Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/prod/sp. New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/pross_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.adnet.com/adverts/eprints/axent/pcwk/90803kp.html.   |                  |                 | OTHER                     | REFEREN  | CES (Including Au        | thor Title Date Pe   | rtinent Pas | es. Etc.)                              | <u> </u>           |  |  |  |
| AC   Firewall Features   AD   Internet Security Systems, Coordinated Attack Single Source, December 2, 1998, p. 1.  AE   Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF   Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/about/about.php3.  AG   Internet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/press_rel/pr3.php3.  AH   Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI   Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AJ   Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsengine.php3.  AK   Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.   | AN               | AA              | / Internet Secu           | rity Systems   | , RealSecure Frequ       |                      |             |  | рр. 1-14,          |  |  |  |
| AD Internet Security Systems, Coordinated Attack Single Source, December 2, 1998, p. 1.  AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/about/about.php3.  AG Internet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/prod/rsagent.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AJ Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsengine.php3.  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.   |                  | AB              | Internet Secu             | rity Systems   | , Host Security Rat      | ing Detail, Novembe  | er 9, 1998, | рр. 1-11.                              |                    |  |  |  |
| AE Internet Security Systems, RealSecure Frequently Asked Questions, October 29, 1999, pp. 1-14, http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/about/about.php3.  AG Internet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/press_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsengine.php3.  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.   |                  | AC              | Firewall Fed              | tures  | <del></del>              |                      |             |  |                    |  |  |  |
| http://www.iss.net/prod/tpo/rs_faq.php3.  AF Internet Security Systems, Information Security: A Changing Need, October 27, 1999, pp. 1-9, http://www.iss.net/about/about.php3.  AG Internet Security Systems, ISS Ships New Version of RealSecure, Provides Industry-First Solution for Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/pross_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AJ Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsengine.php3.  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  |                  | AD              | Internet Secu             | rity Systems   | , Coordinated Attac      | ck Single Source, De | cember 2,   | 1998, p. 1.                            |                    |  |  |  |
| http://www.iss.net/about/about.php3.  AG   |                  | AE              |                           |  |                          | ently Asked Questio  | ns, Octobe  | r 29, 1999, pp                         | o. 1-14,           |  |  |  |
| Comprehensive E-Business Server Protection, October 29, 1999, pp. 1-3, News Release, http://www.iss.net/press_rel/pr3.php3.  AH Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, http://www.iss.net/prod/rsagent.php3.  AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, http://www.iss.net/prod/rsmanager.php3.  AJ Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, http://www.iss.net/prod/rsengine.php3.  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  |                  | AF              | http://www.i              |  |                          | rity: A Changing Ne  | ed, Octobe  | r 27, 1999, pp                         | o. 1-9,            |  |  |  |
| AI Internet Security Systems, ISS SAFEsuite products, RealSecure Manager, October 29, 1999, p. 1, <a href="http://www.iss.net/prod/rsmanager.php3">http://www.iss.net/prod/rsmanager.php3</a> .  AJ Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, <a href="http://www.iss.net/prod/rsengine.php3">http://www.iss.net/prod/rsengine.php3</a> .  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.   |                  | AG              | Comprehens                | ive E-Busine   | ss Server Protection     |                      |             |  |                    |  |  |  |
| AJ Internet Security Systems, ISS SAFEsuite products, RealSecure Engine, October 27, 1999, p. 1, <a href="http://www.iss.net/prod/rsengine.php3">http://www.iss.net/prod/rsengine.php3</a> .  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  |                  | AH              |                           | Internet Security Systems, ISS SAFEsuite products, RealSecure Agent, October 29, 1999, p. 1, |                          |                      |             |  |                    |  |  |  |
| http://www.iss.net/prod/rsengine.php3.  AK Phillips, NetProwler detects perimeter hack attacks, July 5, 1999, pp. 1-3, Ziff-Davis Publishing Company, Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  EXAMINER DATE CONSIDERED 3/3/01   |                  | AI              |                           |  |                          | oducts, RealSecure I | Manager, (  | October 29, 19                         | 999, p. 1,         |  |  |  |
| Reprinted from PC Week, http://www.zdnet.com/adverts/eprints/axent/pcwk/90803kp.html.  EXAMINER  DATE CONSIDERED 3/3/0.5   |                  | AJ              |                           |  |                          |                      |             |  |                    |  |  |  |
|  | J                |                 |                           |  |                          |                      |             |  |                    |  |  |  |
|  | EXAMINE          | ER.             |                           | 1  |                          | DATE CONS            | DERED       | 3/3/1                                  | ) [                |  |  |  |
|  |                  |                 | Initial if reference cons | dered, whether   | er or not citation is in |                      |             | aw line through                        | citation if not in |  |  |  |

| PORM PIO-I                  | 1449, AU   | apteu |          |                   |             |           |  |           |                               |                     |        |  |  |
|-----------------------------|--|-------|----------|-------------------|-------------|-----------|--|-----------|-------------------------------|---------------------|--------|--|--|
|                             |  |       | LIST OF  | INFOR             |             |           | CLOSED BY if necessary)                    | APPI      | LICANT                        |                     |        |  |  |
| ATTY. DOCKET NO. SERIAL NO. |  |       |          |                   | FILING DATE |           |  |           |                               |                     |        |  |  |
| 07609.105002 09/469,586     |  |       |          | December 22, 1999 |             |           |  |           |                               |                     |        |  |  |
| APPLICANT                   | Г  |       |          |                   |             | GROUP     | ···  |           | ,                             | <u></u>             |        |  |  |
| Sterling M                  | lichael  | Pear  | rson     |                   |             | 2134      |  |           |                               |                     |        |  |  |
|                             | <del></del>  |       |          |                   | U.S. PA     | TENT DO   | CUMENTS                                    |           |                               |                     |        |  |  |
| EXAMINER<br>INITIAL         |  |       |          | -                 | NAME        |           | CLASS                                      | SUBCLASS  | FILING DATE<br>IF APPROPRIATE |                     |        |  |  |
|                             |  |       |          |                   |             |           |  |           |                               |                     |        |  |  |
|                             |  |       | -        | F                 | OREIGN      | PATENT    | DOCUMENTS                                  | ,         |                               |                     |        |  |  |
|                             | DOCUMENT NUMBER DATE COUNT   |       |          |                   | COUNT       | TRY NAME  |  |           | TRANS<br>YES                  | TRANSLATION YES NO. |        |  |  |
|                             |  |       |          |                   |             |           |  |           |                               |                     |        |  |  |
|                             | ·  |       | OTHER    | REFEREN           | CES (Inclu  | ding Auth | or, Title, Date, Peri                      | inent Pag | es, Etc.)                     | I                   |        |  |  |
| AN                          | AL AXENT, Net Prowler Integration Module for the Raptor Firwall 6.x, October 27, 1999, p. 1, <a href="http://www.raptor.com/cs/FAQ/netprowler.html">http://www.raptor.com/cs/FAQ/netprowler.html</a> . |       |          |                   |             |           |  |           |                               |                     |        |  |  |
| 1                           | AM Network Security Wizards, Dragon Products, October 29, 1999, p. 1, http://www.securitywizards.com/product.html.   |       |          |                   |             |           |  |           |                               |                     |        |  |  |
| EXAMINE                     | ER   |       | <u> </u> | 1                 |             |           | DATE CONSID                                | ERED      | 3/3/0                         | 5                   |        |  |  |
|                             |  |       |          |                   |             |           | informance with MPE nication to applicant. | P 609; Dr | w line through                | h citation if       | not in |  |  |

| Sheet | 1 | of | 2 |
|-------|---|----|---|
|       |   |    |   |

| FORM FIG.  |  |  | INFOR                         | _                                | N DISC<br>ral sheets if | LOSED B'                          | Y APPİ |               |                               |              |  |
|--|--|--|-------------------------------|----------------------------------|-------------------------|-----------------------------------|--------|---------------|-------------------------------|--------------|--|
| ATTY. DOC  | KET NO   | D  | SERIAL NO.                    |                                  | FILING DA               | E                                 | _      | REC           | FILE                          |              |  |
| 19433-0100   |  |  | 09/469,586                    |                                  | Decembe                 | 22, 1999                          |        | MAR 3 0 2000  |                               |              |  |
| Sterling Michael Pearson   |  |  |                               |                                  |                         |                                   |        | MAR 30 snnn   |                               |              |  |
| Sterring W   | испаст   | reason   |                               | U.S. PAT                         | TENT DOCUMENTS          |                                   |        | Group 2700    |                               |              |  |
| EXAMINER<br>INITIAL  |  |  | DATE                          |                                  | NAME                    |                                   | CLASS  | SUBCLASS      | FILING DATE<br>IF APPROPRIATE |              |  |
|  | AA   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | AB   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | AC   |  |                               |                                  | (E                      | JCap                              |        |               |                               |              |  |
|  | AD   |  |                               |                                  | 10                      | B AND E                           |        |               |                               |              |  |
|  | ΑE   |  |                               |                                  | 412                     |                                   |        |               |                               |              |  |
|  | АF   |  |                               |                                  | PA PA                   | ENT & THE                         |        |               |                               |              |  |
|  | AG   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | АН   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | ΑI   |  |                               | _                                |                         | •                                 |        |               |                               |              |  |
|  | LΑ   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | AK   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  |  | -  | FC                            | REIGN P                          | ATENT I                 | OCUMENTS                          | 3      |               | TRANS                         | ATION        |  |
|  |  | DOCUMENT NUMBER                                      | DATE                          | COUNTR                           | TRY NAME                |                                   |        | Œ             |                               | NO.          |  |
|  | AL   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | AM   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | AN   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  | AO   |  |                               |                                  |                         |                                   |        |               |                               |              |  |
|  |  |  |                               |                                  |                         |                                   |        |               |                               |              |  |
| AP Jai Sundar Balasubramaniyan, Jose Ovar Garcia-Fernandez, David Isacoff, Eugene Spafford, and Diego Zamboni. An architecture for intrusion detection using Autonomous Agents. COAST Technical Report 98/05, COAST Laboratory, Department of Computer Sciences, Purdue University, West Lafayette, IN 47907 -1398, June 1998. |  |  |                               |                                  |                         |                                   |        |               |                               | eport        |  |
|  | AR / "Network Security Wizards" (visited October 27, 1999) http://www.securitywizards.com. |  |                               |                                  |                         |                                   |        |               |                               |              |  |
| 1  | AS   |  |                               |                                  |                         | http://nai.com/a                  |        |               |                               | tures.asp.   |  |
| EXAMINE  | AT  <br>R  | Axent: Secur   | uy inat Me<br>I               | eans busines:                    | . (VISITED C            | DATE CONST                        | ERED 1 | ww.axent.con  | n _                           |              |  |
| EVANIN   | ED.  |  | idamadb. i                    | han an a sia:                    | vian i- i               |                                   |        | Describer d   | anak teret                    | . 16 1       |  |
| conforman  | ce and   | Initial if reference const<br>not considered. Includ | idered, whet<br>le copy of th | ner or not cita<br>his form with | next commu              | niormance with inication to appli | cant.  | Draw line thr | ough citatio                  | on if not in |  |

## LIST OF INFORMATION DISCLOSED BY APPLICANT

|  |         |  | 1111 011            |                  |             | ts if necessary)        | *****       | MONITOR       |               |                     |  |
|--|---------|--|---------------------|------------------|-------------|-------------------------|-------------|---------------|---------------|---------------------|--|
| ATTY. DOC  | KET NO  | ). T   | SERIAL NO.          |                  | FILING      | DATE                    |             |               |               |                     |  |
| 10422 010  | n       |  | 00/4/0.59/          |                  | D 1 22 1000 |                         |             |               |               |                     |  |
| 19433-010<br>APPLICANT                           |         |  | 09/469,586<br>GROUP |                  | Decen       | nber 22, 1999           | <del></del> |               |               |                     |  |
|  |         |  |                     |                  |             |                         | •           |               |               |                     |  |
| Sterling Mi                                      | chael I | Pearson  |                     | IIC DA'          | PENT I      | OCUMENTS                |             |               |               |                     |  |
|  |         | <del>,</del>   | T                   | U.S. FA          | LENIL       | OCCIVIENTS              |             |               | <u> </u>      |                     |  |
| EXAMINER<br>INITIAL                              |         | DOCUMENT NUMBER  | DATE                | NAME             |             |                         | CLASS       | SUBCLASS      |               | NG DATE<br>ROPRIATE |  |
|  | AA      | · · · · · · · · · · · · · · · · · · ·  |                     |                  | <del></del> | E JCHO                  |             |               |               |                     |  |
|  | AB      |  |                     |                  | _/          | 6 6                     |             | Dra           |               | <del> </del>        |  |
|  | AC      |  |                     |                  | ('          | 78 S                    | ,           | REC           | EIVE          | D                   |  |
|  | AD      |  |                     |                  |             | CATEM & THE             |             | MAK .         | b n Suuc      | )                   |  |
|  | ΑE      |  |                     |                  |             |                         |             | Group         | 2700          | )                   |  |
|  | AF      |  |                     |                  |             |                         |             |               |               |                     |  |
|  | AG      |  |                     |                  |             |                         |             |               |               |                     |  |
| -  | AH      |  |                     |                  |             |                         |             |               | ·             |                     |  |
|  |         |  |                     |                  |             |                         |             |               |               |                     |  |
|  | AI      |  |                     | -                |             |                         |             |               |               |                     |  |
|  | AJ      | <u>.                                    </u>   |                     |                  |             |                         |             | ·             |               |                     |  |
| <del></del>                                      | AK      |  | i ,                 | FOREICNI         | DATEN       | T DOCUMENTS             | i           |               | <u> </u>      |                     |  |
|  |         |  | T                   | ORCIGN           | FAILN       | I DOCUMENTS             |             |               | TRANS         | LATION              |  |
|  |         | DOCUMENT NUMBER  | DATE                | COUNTR           | RY          |                         |             | NAME .        | YES           | NO.                 |  |
|  | AL      |  |                     |                  | <u>.</u>    |                         |             |               |               |                     |  |
|  | AM      |  |                     |                  |             |                         |             |               |               |                     |  |
|  | AN      |  |                     |                  |             |                         |             |               |               |                     |  |
|  | AO      |  |                     |                  |             |                         |             |               |               |                     |  |
|  | nn l    |  |                     |                  |             | hor, Title, Date, Perti |             |               |               |                     |  |
| Apr  | BP      | "NFR Intrusion Detection Appliance" (visited October 27, 1999) http://www.nfr.net/products/ida-facts.html.   |                     |                  |             |                         |             |               |               |                     |  |
|  | BR      | "ISS SAFEsuite Products" (visited October 27, 1999) http://www.iss.net/prod/rs.php3.  Greg Shipley, "Intrusion Detection" Networking Computing, November 15, 1999, pp. 48, 50, 52, 56, 58, |                     |                  |             |                         |             |               |               |                     |  |
| <del>                                     </del> | BS      |  |                     |                  |             |                         |             |               |               |                     |  |
| EXMMINE  | R       | 1  | -                   |                  |             | DATE CONSID             | ERED /      | ,<br>v        | <del></del>   |                     |  |
| EXAMIN   | ER· I   | nitial if reference conside  | ted whether         | r or not citatio | n is in co  |                         |             |               | itation if no | t in                |  |
|  |         | not considered. Include  |                     |                  |             |                         | oo, Didw    | inic anough c | tation it no  | e 111               |  |